

Application #09/822,683  
Amendment dated May 1, 2006

**Amendments to the claims:**

1. (currently amended) A method for ~~exchange~~ exchanging financial and intellectual capital assets comprising:

defining first and second assets as first and second digital automated equities comprising wherein a digital automated equity is connected to a software object instantiated with attributes of the assets to which the digital automated equity corresponds, the software object's attributes including:

at least one function selected from the set of functions having the members (1) the ability to calculate a value given certain assumptions, (2) a maintenance of a pedigree of transaction history involving the digital automated equity, (3) an embodiment of variable business logic, (4) an embodiment of variable vocabulary, (5) an ability to declare the identity of the digital automated equity;

registering the first and second digital automated equities on a common system exchange as offeror intermediary objects having predetermined attributes, the attributes including exchange price and exchange conditions; and

matching the first and second equities by having one intermediary object comparing the attributes of the other intermediary objects by calling on the attributes of the other intermediary objects to determine whether the attributes match the exchange price or exchange conditions required by the one intermediary object.

Page 6 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

2. (original) The method of Claim 1 wherein the first asset comprises intellectual capital.
3. (original) The method of Claim 2 wherein the second asset comprises financial capital.
4. (original) The method of Claim 2 wherein the intellectual capital comprises patent rights.
5. (original) The method of Claim 2 wherein the intellectual capital comprises rights to a name.
6. (original) The method of Claim 2 wherein the intellectual capital comprises proprietary information.
7. (original) The method of Claim 2 wherein the intellectual capital comprises a business plan.
8. (currently amended) The method of Claim ~~2~~ 3 wherein the financial capital comprises a value stated in a national currency.
9. (currently amended) The method of Claim ~~2~~ 3 wherein the financial capital comprises a security.
10. (original) The method of Claim 9 wherein the security comprises warrants.
11. (original) The method of Claim 9 wherein the security comprises options.
12. (original) The method of Claim 9 wherein the security comprises stock.
13. (original) The method of Claim 1 wherein the first asset comprises segments of proprietary information and the second asset comprises queries for proprietary information, the method further comprising:

Page 7 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

registering the first asset as an offeror intermediary object  
having segmented information and one or more  
actions associated with the segmented information;  
registering the second asset as an investor intermediary;  
disclosing one or more segments of the proprietary  
information to the investor intermediary upon compliance  
with one or more of the actions.

14. (original) The method of Claim 13 wherein one of the actions comprises execution of a non-disclosure agreement.
15. (original) The method of Claim 13 wherein one of the actions comprises disclosure of proprietary information by the investor intermediary.
16. (original) The method of Claim 13 further comprising staged disclosure of plural segments of information upon compliance with plural actions.
17. (currently amended) A computer exchange system for providing an integrated exchange for registering and exchanging financial capital assets and intellectual capital assets comprising:  
  
plural capital exchange offers stored in memory as ~~an~~ software objects, each capital exchange offer encapsulating attributes that define a digital automated equity associated with the capital exchange offer, an exchange barter price for the capital exchange offer and one or more conditions associated with the capital exchange offer, wherein the digital automated equity is a software object associated with an underlying asset and comprising:  
  
a presentation aspect;

Page 8 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

a functional aspect; and

a user-defined content aspect wherein:

the presentation aspect is a graphical object  
through which a user can query and  
manipulate the object;

the function aspect comprises operational  
functions operable to execute user  
requests received through the  
presentation aspect; and

the user-defined content provides visible  
characteristics associated with the user-  
defined content;

a match use case that compares attributes of the plural  
capital exchange offers to determine closeness of the  
capital exchange offers by one capital exchange offer  
calling upon a function aspect of a digital automated  
equity associated with at least one other capital  
exchange offer to determine the nature of the  
underlying asset corresponding to the at least one  
other capital exchange offer and the conditions  
associated with the capital exchange offer;

a negotiate transaction use case that supports  
communication between owners associated with close  
capital exchange offers to alter attributes in response  
to a match; and

a settle transaction use case that supports the exchange of  
digital automated equities.

Application #09/822,683  
Amendment dated May 1, 2006

18. (original) The computer exchange system of Claim 17 wherein the match use case compares attributes by placing stored capital exchange offers in a dormant state and comparing newly initiated capital exchange offers with each dormant capital exchange offer.
19. (currently amended) The computer exchange system of Claim 18 wherein the ~~barter~~ exchange price of each digital automated equity comprises a type of digital automated equity sought in exchange and wherein the match use case compares the type of digital automated equity type of the ~~barter~~ exchange price of the newly initiated capital exchange offer with the digital automated equity type of the ~~barter~~ exchange price of the dormant capital exchange offers.
20. (original) The computer exchange system of Claim 19 wherein the match use case places newly initiated capital exchange offers in a dormant state if no match is found.
21. (original) The computer exchange system of Claim 19 wherein one type of digital automated equity comprises an internet domain name.
22. (original) The computer exchange system of Claim 18 further comprising an expire use case that removes capital exchange offers from the dormant capital exchange offers upon passage of a predetermined expiration time.
23. (cancelled)
24. (cancelled)
25. (cancelled)
26. (cancelled)
27. (cancelled)

Page 10 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

28. (cancelled)

29. (cancelled)

30. (cancelled)

31. (cancelled)

32. (cancelled)

33. (cancelled)

34. (cancelled)

35. (cancelled)

36. (cancelled)

37. (cancelled)

38. (cancelled)

39. (new) A method for defining, configuring, instantiating, issuing, registering, and exchanging components of capital in an automated digital exchange for exchanging financial and intellectual assets wherein the components of financial and intellectual capital are represented in a uniform representation, comprising:

representing a component of an intellectual capital asset as an intellectual capital digital automated equity with a purpose of making a capital exchange offer to exchange the intellectual capital digital automated equity;

representing a component of a financial capital asset as a financial capital digital automated equity with a purpose of making a capital exchange offer to exchange the financial capital digital automated equity;

Page 11 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

wherein each of the intellectual capital and financial capital digital automated equities are software objects with least one function selected from the set of functions having the members (1) the ability to calculate a value given certain assumptions, (2) a maintenance of a pedigree of transaction history involving the digital automated equity, (3) an embodiment of variable business logic, (4) an embodiment of variable vocabulary, (5) an ability to declare the identity of the digital automated equity, (6) an ability to display the attributes of the digital automated equity in a visual presentation object;

defining a first capital exchange offer as software objects that contain the intellectual capital digital automated equity, and terms of the offer for the intellectual capital digital automated equity;

defining a second capital exchange offer as software objects that contain the financial capital digital automated equity, and terms of the offer for the intellectual capital digital automated equity;

registering the first and second capital exchange offers on a digital automated exchange formed for the purpose of conducting capital exchange offers.

40. (new) The method of Claim 39, wherein capital exchange offers containing digital automated equities registered by multiple parties are managed by object mediaries, the method further comprising:

Application #09/822,683  
Amendment dated May 1, 2006

defining an object mediary for each of the first and second capital exchange offer as software objects configured and instantiated for the purpose of managing capital exchange offers containing at least one digital automated equity wherein an object mediary has associated therewith a capital exchange offer and an owner of the digital automated equity associated with the capital exchange offer;

configuring the object mediaries to search for certain attributes of capital exchange offers registered on the digital automated exchange, and to report back to the owners of the object mediaries the result of such searches.

41. (new) The method of Claim 40 further comprising:

executing a first object mediary to call upon functions of a second object mediary to determine if a match exists between terms offered by the first object mediary and terms required by a second object mediary.

42. (new) A method for exchanging financial and intellectual capital assets comprising:

defining a software object corresponding to an asset wherein the software object comprises:

at least one function;

registering the software object on a common system exchange as an offer for exchange;

operating the common system exchange to compare registered software objects wherein the asset is compared against at least one other asset to

Page 13 of 30

R001 Amendment and Response v1.0.doc



Application #09/822,683  
Amendment dated May 1, 2006

determine the suitability for exchange of the assets, wherein the software object participates in the comparison by executing the at least one function in response to an inquiry of the common system exchange to provide the common system exchange with information useful in performing the comparison with the at least one other asset.

43. (new) The method of Claim 42 wherein the function is selected from the set of functions having the members (1) the ability to calculate a value given certain assumptions, (2) a maintenance of a pedigree of transaction history involving the digital automated equity, (3) an embodiment of variable business logic, (4) an embodiment of variable vocabulary, (5) an ability to declare the identity of the digital automated equity.

44. (new) The method of Claim 42 wherein the software object step further comprises:

user-defined content visible characteristics associated with the underlying asset.

45. (new) The method of Claim 42 further comprising:

evaluating and processing offers for exchange of the at least one asset software object with a second asset software object by comparing an offer to exchange the at least one asset software object with an offer to exchange the second asset software object.

46. (new) The method of Claim 45 wherein the step of evaluating and processing offers for exchange of the at least one asset software object further comprises permitting definition, processing and

Application #09/822,683  
Amendment dated May 1, 2006

registering at least one capital exchange offer software object with  
the computerized exchange,

the at least one capital exchange offer software object  
comprising:

the asset software object;

an offered exchange price; and

exchange conditions; and

wherein the method of exchange further comprises allowing  
the registration of the at least one capital exchange  
software object and wherein a registration of the at  
least one capital exchange software object operates to  
initiate an offer to exchange the at least one asset  
software object according to the offered exchange price  
and the exchange conditions.

47. (new) The method of Claim 46 further comprising comparing at  
least one of the offered exchange price and exchange conditions of  
the at least one capital exchange software object against at least  
one of an offered exchange price and exchange conditions for at  
least a second registered capital exchange software object to  
determine if the exchange price or exchange conditions provide a  
match.

48. (new) The method of Claim 47 wherein the step of comparing at  
least one of the offered exchange price and exchange conditions of  
the at least one capital exchange software object against at least  
one of an offered exchange price and exchange conditions for at  
least a second registered capital exchange software object further  
comprises causing at least one of the offered exchange price and  
exchange conditions of the at least one capital exchange software

Page 15 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

object against at least one of an offered exchange price and exchange conditions for at least a second registered capital exchange software object comprises the at least one capital exchange software object querying other registered capital exchange software objects to determine whether the offered exchange price and exchange conditions match those required by the at least one capital exchange software object.

49. (new) 'The method of Claim 47 wherein a capital exchange software object has associated therewith an offeror who desires to offer the underlying asset for exchange, the method further comprising:

presenting an offeror with any capital exchange software objects matching the capital exchange software object offered for exchange by the offeror with such matching capital exchange software objects;

enabling the offeror to initiate negotiation with any such matching capital exchange software object, wherein the negotiation comprises:

executing a staged disclosure process comprising processing information segmented into information components wherein each segment has associated there with an action and a capability wherein a potential accessor of the information component is required to perform the action before being allowed to execute the capability.

50. (new) The method of Claim 49 wherein the staged disclosure process:

operating an offeror intermediary software object having

Application #09/822,683  
Amendment dated May 1, 2006

a required action presentation logic to present a  
required action for a next information content;  
and

a grant capability logic;

operating an investor intermediary software object in  
communication with the offeror intermediary and having  
a logic to perform the required action presented by the  
offeror intermediary and operable to communicate  
the result of such action to the offeror intermediary;  
and

wherein offeror intermediary grants capability to the investor  
intermediary upon satisfaction of the required action.

51. (new) The method of Claim 50 required action is acquiescing to a  
non-disclosure agreement, and the capability is a grant of access to  
information protected under the non-disclosure agreement.

52. A computerized exchange system operable to exchange financial  
and intellectual capital assets, the computerized exchange system  
comprising:

logic permitting definition and processing of at least one  
asset software object representing a financial or  
intellectual capital asset wherein the software object  
comprises:

a presentation aspect;

a function aspect; and

a user-defined content aspect;

wherein:

Application #09/822,683  
Amendment dated May 1, 2006

the presentation aspect is a graphical object  
through which a user can query and  
manipulate the object;

the function aspect comprises operational  
functions operable to execute user  
requests received through the  
presentation aspect; and

the user-defined content provides visible  
characteristics associated with the user-  
defined content.

53. The computerized exchange of Claim 52 wherein the function aspect comprises at least one function selected from the set of functions having the members (1) the ability to calculate a value given certain assumptions, (2) a maintenance of a pedigree of transaction history involving the digital automated equity, (3) an embodiment of variable business logic, (4) an embodiment of variable vocabulary, (5) an ability to declare the identity of the digital automated equity.
54. The computerized exchange of Claim 52 wherein the user-defined content contains capability to define and allow visible characteristics associated with the underlying asset.
55. The computerized exchange of Claim 52 further comprising logic for evaluating and processing offers for exchange of the at least one asset software object with a second asset software object by comparing an offer to exchange the at least one asset software object with an offer to exchange the second asset software object.
56. The computerized exchange of Claim 55 wherein the logic for evaluating and processing offers for exchange of the at least one

Application #09/822,683  
Amendment dated May 1, 2006

asset software object further comprises logic permitting definition,  
processing and registering at least one capital exchange offer  
software object with the computerized exchange,

the at least one capital exchange offer software object  
comprising:

the asset software object;  
an offered exchange price; and  
exchange conditions; and

wherein the computerized system comprises logic allowing  
the registration of the at least one capital exchange  
software object and wherein a registration of the at  
least one capital exchange software object operates to  
initiate an offer to exchange the at least one asset  
software object according to the offered exchange price  
and the exchange conditions.

57. The computerized exchange of Claim 56 further comprising logic to  
compare at least one of the offered exchange price and exchange  
conditions of the at least one capital exchange software object  
against at least one of an offered exchange price and exchange  
conditions for at least a second registered capital exchange  
software object to determine if the exchange price or exchange  
conditions provide a match.

58. The computerized exchange of Claim 57 wherein the logic to  
compare at least one of the offered exchange price and exchange  
conditions of the at least one capital exchange software object  
against at least one of an offered exchange price and exchange  
conditions for at least a second registered capital exchange  
software object further comprising logic to cause at least one of the

Page 19 of 30

R001 Amendment and Response v1.0.doc

Application #09/822,683  
Amendment dated May 1, 2006

offered exchange price and exchange conditions of the at least one capital exchange software object against at least one of an offered exchange price and exchange conditions for at least a second registered capital exchange software object comprises the at least one capital exchange software object querying other registered capital exchange software objects to determine whether the offered exchange price and exchange conditions match those required by the at least one capital exchange software object.

59. The computerized exchange of Claim 57 wherein a capital exchange software object has associated therewith an offeror who desires to offer the underlying asset for exchange, the computerized exchange further comprising:

presentation logic to present an offeror with any capital exchange software objects matching the capital exchange software object offered for exchange by the offeror with such matching capital exchange software objects;

negotiation logic to allow the offeror to initiate negotiation with any such matching capital exchange software object, wherein the negotiation logic comprises:

staged disclosure logic comprising logic to process information segmented into information components wherein each segment has associated there with an action and a capability wherein a potential accessor of the information component is required to perform the action before being allowed to execute the capability.

Application #09/822,683  
Amendment dated May 1, 2006

60. The computerized exchange of Claim 59 wherein the staged disclosure logic comprises:

an offeror intermediary software object having

a required action presentation logic to present a  
required action for a next information content;  
and

a grant capability logic;

an investor intermediary software object in communication with  
the offeror intermediary and having

a logic to perform the required action presented by the  
offeror intermediary and operable to communicate  
the result of such action to the offeror intermediary;  
and

wherein offeror intermediary grants capability to the investor  
intermediary upon satisfaction of the required action.

61. The computerized exchange of Claim 60 required action is  
acquiescing to a non-disclosure agreement, and the capability is a  
grant of access to information protected under the non-disclosure  
agreement.